

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Kent F. Hayes, Jr. : Date: February 26, 2004

Serial Number: N/A : Group Art Unit: N/A

Filed: Herewith : Examiner: Unknown

Title: Method, System and Program : IBM CORPORATION  
Product for Resolving Prerequisites for a : IP Law - Dept. T81/Bldg. 503  
Client Device in an Open Service Gateway 3039 Cornwallis Road  
Initiative (OSGi) Framework : Research Triangle Park, NC 27709

---

**INFORMATION DISCLOSURE STATEMENT (IDS) UNDER 37 CFR 1.97**

**Commissioner For Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

Dear Sir:

The attached Form PTO-1449, and any attached foreign patent office search report, provides a listing of information which may be relevant to the subject application. This IDS is not intended as a representation that better art is not available, nor that the information provided is prior art.

This IDS is submitted under:

X  37 CFR 1.97(b) - No Fee.

37 CFR 1.97(c) - No Fee. Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application. This communication is dated \_\_\_\_\_, which is not more than 3 months prior to the mailing of this statement.

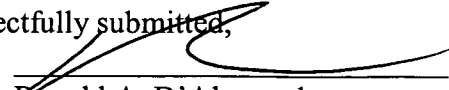
37 CFR 1.97(c) - Fee.

37 CFR 1.97(d) - Fee, Certification & Petition.

The Commissioner is authorized to charge payments of any associated fees required under 37 CFR 1.17(p) and (i) (1) to Deposit Account No. 09-0461 (IBM).

Respectfully submitted,

By:

  
Ronald A. D'Alessandro

Registration No. 42,456

Telephone No.: (518) 449-0044

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Application Number	N/A
				Filing Date	Herewith
				First Named Inventor	Kent F. Hayes, Jr.
				Art Unit	N/A
				Examiner Name	N/A
Sheet	1	of	1	Attorney Docket Number	RSW920030232US1

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
/R.K./		US-2003/0028869 A1	02/06/2003	Drake et al.	
/R.K./		US-6,421,705 B1	07/16/2002	Northrup	
/R.K./		US-6,389,464 B1	05/14/2002	Krishnamurthy et al.	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	7 <sup>6</sup>
		Country Code <sup>3</sup>	-Number <sup>4</sup>	-Kind Code <sup>5</sup> (if known)				
					</			

Examiner Signature	/Richard Keehn/	Date Considered	12/06/2007
-----------------------	-----------------	--------------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.  
<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.  
<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.  
 Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449B/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	N/A
		Filing Date	Herewith
		First Named Inventor	Kent F. Hayes
		Group Art Unit	N/A
		Examiner Name	N/A
		Attorney Docket Number	RSW920030232US1
Sheet	2	of	2

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/R.K./		INSPEC, AN-4341352, "Self-tuning and Adaptive Control with Personal Computers", Pfannstiel et al., Selected Papers from the Ninth IFAC/IFORS Symposium, pp. 1215-1220, Vol. 2, Oxford, UK, 1992.	
/R.K./		INSPEC, AN-4852327, "New Software Tools for Design and Implementation of Complete High Performance Motion Systems", Antognini et al., 1994.	
/R.K./		WEISS et al., "Goal-Oriented Software Assessment", 2002.	
/R.K./		TDB No. 10b, 03/1992, pp. 141-145, "Personal Systems Functional Architectural Verification Methodology", Cabezas et al.	
/R.K./		TDB No. v39, n3, 03/1996, pp. 363-366, "Anonymous Delivery of Goods in Electronic Commerce", Hauser et al.	

Examiner Signature	/Richard Keehn/	Date Considered	12/06/2007
-----------------------	-----------------	--------------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.